

**UTAH DIVISION OF SECURITIES
STATISTICS**

<u>Enforcement</u>	<u>FY 00</u>	<u>FY 01</u>	<u>FY 02</u>	<u>FY 03</u>	<u>FY04</u>	<u>FY05</u>
Complaints Received	106	110	172	175	171	98
Cases Opened	112	89	106	104	87	70
Cases Closed	66	73	118	123	86	66
Administrative Cases						
Cases Filed	80	155	141	118	70	55
Orders to Show Cause	25	29	65	71	41	13
Cease and Desist Orders	11	3	24	34	32	8
Stipulated Settlements	22	47	20	37	29	30
Denials and Revocations	14	29	26	22	20	4
Civil Cases						
Lawsuits filed	1	0	1	0	0	1
Judgments	0	1	0	0	2	0
Criminal Cases						
Criminal Charges Filed	50	35	66	46	54	35
Convictions	28	15	30	25	38	20
Audits	20	32	28	41	50	36
Fines Paid	\$241,200	\$155,620	\$51,943	\$782,341	\$3,535,142 *	\$880,333.27
Funds Recovered or Ordered	\$4,256,132	\$7,189,526	\$16,582,868	\$5,191,923	\$28,167,307	\$63,649,804.58
 <u>Licenses</u>						
Broker-Dealers	1,878	2,304	1,868	1,753	1,704	1,733.00
Broker-Dealer Agents	84,623	94,715	82,945	76,241	77,594	83,797.00
Investment Advisors	121	142	129	134	132	143.00
Federal Covered Advisors	456	525	588	609	643	701.00
I/A Representatives	1,683	1,937	2,013	2,239	2,451	3,088.00
Certified Dealers	21	22	20	25	18	25
Certified Dealer Agents	82	96	97	82	N/A	N/A
Issuer Agents	130	169	196	214	83	87
Total	88,994	99,910	87,856	81,297	82,625	89,574
 <u>Securities Filings</u>						
Registrations						
Coordination	148	125	127	125	136	146
Qualification	8	3	1	2	1	2
Exemptions	191	86	68	58	63	36
Opinion/No-Action Letters	6	12	3	6	3	7
Mutual Funds	4,215	4,413	3,915	4,184	3,998	4,252
Rule 506	508	484	412	437	531	659
Total	5,076	5,123	4,526	4,812	4,732	5,102

*Of the total funds, \$3,375,000 came from analyst conflict cases and \$160,142 came from all other cases.